

AMENDMENTS TO THE CLAIMS

This listing of claims will replace all prior versions, and listings, of claims in the application:

1.(Currently Amended) A method of facilitating monitoring of a transaction[[s]] for one or more indications of insider trading, the method comprising:

receiving digital information related to one or more financial transactions into a storage of a computer device;

creating rules which relate the digital information to insider trading rules in the computer storage; and

generating a risk quotient indicative of a quantitative amount of insider trading risk (ITR) associated with the financial transaction;

generating an indication that execution of the financial transaction is in violation of one or more of the insider trading rules; and

providing a report including the generated risk quotient.

2.(Original) The method of claim 1 wherein the digital information received comprises supporting documentation for the transactions.

3. (Original) The method of claim 1 wherein the indication of an amount of risk comprises a normal range of risk and an elevated amount of risk and the method additionally comprising the steps of:

determining a particular legal violation associated with an elevated level of risk; and

generating an action responsive to the particular legal violation.

4. (Original) The method of claim 1 wherein the method additionally comprises the step of transmitting an indication to block execution of the one or more financial transactions.

5. (Original) The method of claim 1 wherein the method additionally comprises the step of notifying a legal authority involved in enforcing insider trading laws of a potential violation of a law related to the execution of the financial transaction.

6. (Original) The method of claim 1, wherein the digital information is received from at least one of: (i) a bank, (ii) a broker dealer, and (iii) a national trading exchange.

7. (Original) The method of claim 1 additionally comprising the steps of: analyzing the stored data for patterns of behavior indicative of insider trading; and automatically generating a suggested action based upon the data.

8. (Original) The method of claim 7 wherein the suggested action comprises conveying an insider trading report to a government entity.

9. (Original) The method of claim 7 wherein the suggested action comprises initiating a risk management clearinghouse search.

10. (Original) The method of claim 7 wherein the suggested action comprises monitoring an associated account for a pattern of activity that may be indicative of a violation of a insider trading law.

11. (Original) The method of claim 7 wherein the suggested action comprises monitoring actions taken by an entity associated with the financial transaction for a pattern of activity that may be indicative of a violation of an insider trading law.

12. (Original) The method of claim 7 wherein the suggested action comprises refusing to perform a requested transaction.

13. (Original) The method of claim 7 wherein the suggested action comprises closing an account associated with the financial transaction.

14. (Original) The method of claim 7 wherein the suggested action comprises generating an insider trading report comprising details of the financial transaction and transmitting the report to a trading exchange associated with the financial transaction.

15. (Original) The method of claim 14 wherein the insider trading report is transmitted via electronic mail.

16. (Original) The method of claim 14 additionally comprising the steps of:
storing a record of the date and time of the transmission; and
storing a record of a destination of the transmission.

17. (Original) The method of claim 1 additionally comprising the step of
securing the data comprising the insider trading report with at least one of: (i) encrypting
the data, (ii) password protecting the data, (iii) protecting the data with a biometric
access procedure, and (iv) refusing to disclose the data except where such disclosure is
requested by an appropriate law enforcement or bank supervisory agency.

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